



ATTORNEYS AT LAW



Robert Greene Sterne  
 Edward J. Kessler  
 Jorge A. Goldstein  
 David K.S. Cornwell  
 Robert W. Esmond  
 Tracy-Gene G. Durkin  
 Michael A. Cimbala  
 Michael B. Ray  
 Robert E. Sokohl  
 Eric K. Steffe  
 Michael Q. Lee  
 Steven R. Ludwig  
 John M. Covert  
 Linda E. Alcorn  
 Robert C. Millonig  
 Lawrence B. Bugalsky  
 Donald J. Featherstone  
 Michael V. Messinger  
 Judith U. Kim  
 Timothy J. Shea, Jr.

Patrick E. Garrett  
 Jeffery T. Helvey\*  
 Heidi L. Kraus  
 Crystal D. Sayles  
 Edward W. Yee  
 Albert L. Ferris\*  
 Donald R. Banowitz  
 Peter A. Jackman  
 Molly A. McCall  
 Teresa U. Medler  
 Jeffrey S. Weaver  
 Kendrick P. Patterson  
 Vincent L. Capuano  
 Albert J. Fasulo II\*  
 Eldora Ellison Floyd  
 W. Russell Swindell  
 Thomas C. Flala  
 Brian J. Del Buono\*  
 Virgil Lee Beaston\*  
 Reginald D. Lucas\*

Kimberly N. Reddick  
 Theodore A. Wood  
 Elizabeth J. Haanes  
 Bruce E. Chalker  
 Joseph S. Ostroff  
 Frank R. Cunningham\*  
 Christine M. Thulier  
 Rae Lynn Prengaman\*  
 Jane Shershenovich\*  
 Lawrence J. Carroll\*  
 George S. Bardmessner  
 Senior Counsel  
 Samuel L. Fox  
 Kenneth C. Bass III

Nancy J. Leith  
 Joseph M. Conrad III  
 Ann E. Wissnerfeld  
 Helene E. Carlson  
 Gaby L. Tompworth  
 Matthew T. Davyd  
 Aaron L. Schwartz  
 Angelique M. W.  
 Boris A. Matvake  
 Mary B. Tung  
 Katrina Y. Pei  
 Bryan L. Skelton  
 Jason D. Eisenberg

\*Admitted only in Maryland  
 \*Admitted only in Virginia  
 \*Admitted only in Texas

RECEIVED  
 MAR 16 2003  
 U.S. PATENT AND TRADEMARK OFFICE  
 16 FEB 07 2003  
 10012000

February 5, 2003

WRITER'S DIRECT NUMBER:

(202) 218-7851

INTERNET ADDRESS:

RSCHWART@SKGF.COM

Commissioner for Patents  
 Washington, D.C. 20231

Group Art Unit 1624

Re: U.S. Utility Patent Application  
 Appl. No. 09/836,548; Filed: April 18, 2001  
 For: **SUBSTITUTED 1,4-THIAZEPINE AND ANALOGS  
 AS ACTIVATORS OF CASPASES AND INDUCERS  
 OF APOPTOSIS AND THE USE THEREOF**  
 Inventors: Drewe *et al.*  
 Our Ref: 1735.0450001/RWE/RAS

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Fee Transmittal (PTO/SB/17);
2. Amendment and Reply Under 37 C.F.R. § 1.111;
3. First Supplemental Information Disclosure Statement;
4. One(1) page of Form PTO-1449 citing three (3) references;
5. A copy of the three (3) cited references;
6. Form PTO-2038 Credit Card Payment Form in the amount of \$180.00 to cover the fee for filing an Information Disclosure Statement; and
7. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier.

Commissioner for Patents  
February 5, 2003  
Page 2

In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned. The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert A. Schwartzman  
Attorney for Applicants  
Registration No. 50,211

RWE/RAS:law  
Enclosures

:ODMA\MHODMA\SKGF\_DC1;99871;1

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT (\$180.00)****METHOD OF PAYMENT (check all that apply)** Check  Credit card  Money Order  Other  None Deposit Account  
Deposit Account Number 19-0036

Deposit Account Name: Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.

**The Commissioner is authorized to:** (check all that apply)

- Charge fee(s) indicated below  Credit any over payments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

\*\* Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE****Large Entity Small Entity**

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1105	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1) (\$)-0-</b>					

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	- 20**	=	X	=	Fee from below	Fee Paid
Indep. Claims	- 3**	=	X	=		
Multiple Dependent		=		=		

<b>Large Entity</b>		<b>Small Entity</b>		<b>Fee Description</b>	
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2) (\$)-0-</b>					

\*\*or number previously paid, if greater; For Reissue, see above

<b>C mplete If Known</b>	
Application Number	09/836,548
Filing Date	April 18, 2001
First Named Inventor	John A. Drewe
Examiner Name	Coleman, B.
Group Art Unit	1624
Attorney Docket No.	1735.0450001/RWE/RAS

<b>FEE CALCULATION (continued)</b>					
<b>3. ADDITIONAL FEES</b>					
<b>Large Entity</b>		<b>Small Entity</b>			
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	
1051	130	2051	65	Surcharge - late filing fee or oath	
1502	50	2052	25	Surcharge-late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
<b>Other fee (specify)</b> _____					
* Reduced by Basic Filing Fee Paid					
<b>SUBTOTAL (3) (\$180.00)</b>					

Complete (If applicable)	
Name (Print/Type)	Robert A. Schwartzman
Registration No. (Attorney/Agent)	50,211
Telephone	202-371-2600
Signature	<i>Robert A. Schwartzman</i>
Date	February 5, 2003

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

